



U.S. Department of
Transportation

Office of the Secretary
of Transportation

ORDER

DOT 1320.16B

4-25-95

Subject: DEPARTMENT OF TRANSPORTATION DIRECTIVES SYSTEM

1. **PURPOSE.** This order establishes policies and responsibilities governing directives systems within the Department of Transportation (DOT).
2. **CANCELLATIONS.**
 - a. DOT 1320.16A, Directives System, dated 9-12-78.
 - b. DOT 1321.2, Department of Transportation Directives System, dated 10-7-74.
 - c. DOT 1100.60A, DOT Organization Manual, dated 11-14-88.
3. **BACKGROUND.**
 - a. Section 3120 of Title 44 of the U.S. Code requires each Federal agency to establish an active and continuing records management program.
 - b. Federal Information Resources Management Regulations (41 CFR 201-9.1) cites the above requirement and states that records management programs should strive to provide managers with a means of conveying written instruction to users and document agency policies and procedures through effective directives management.
 - c. Requirements established by the National Archives and Records Administration (36 CFR 1222.46) prescribe that agency programs, policies, and procedures be documented in appropriate directives and that a copy of each active and cancelled directive be maintained as part of official files.
 - d. Executive Order 12861, "Elimination of One-Half of Executive Branch Internal Regulations," dated September 11, 1993, requires each Federal agency to eliminate not less than 50 percent of its internal management directives by September 1996.

DISTRIBUTION: All Secretarial Offices
All Operating Administrations
Bureau of Transportation Statistics

OPI: Office of
Management
Planning

4. DEFINITIONS.

- a. Directives. Written, multiple-addressed issuances which establish or change policies, organizations, or procedures. Written communications which are issued primarily for the public or addressed to specific individuals and groups and internal information media such as newsletters are excluded from the directives system. Directives include:
- (1) Orders - contain concise statements of new or revised organizations or policy information expected to remain in effect for more than 1 year.
 - (2) Notices - used to issue one-time or short-term information and shall normally expire within 12 months after date of issuance.
 - (3) Page Changes - transmit revised pages and/or additional pages covering new material. These are primarily used when only part of an order is being changed.
 - (4) Operational Handbooks/Manuals - may be included in an organization's directives system to supplement an order or Governmentwide regulation covering areas such as personnel, acquisition, travel, etc. They are generally assigned a subject classification number which corresponds to the order or Governmentwide regulation.
- b. Directives System. A formal system to manage the creation, distribution, maintenance, and disposition of directives.
- c. Departmental Directives. Those issuances containing policy guidance which applies throughout the Department. The number assigned to these directives is prefaced with the initials "DOT."
- d. Organizational Level Directives. Those issuances containing policy guidance which applies only to the issuing organization such as an Office of an Assistant Secretary or operating administration. The number assigned to these directives is prefaced with initials determined by the issuing organization.

- e. **Delegations of Authorities.** Provide authority to Assistant Secretaries, Departmental Officers, Heads of Operating Administrations, and the Director, Bureau of Transportation Statistics, to exercise powers and perform duties vested in the Secretary by statute or regulation.
- f. **Redelegations of Authority.** Transfer permission to exercise powers and perform duties vested in the Secretary of Transportation from the DOT official with designated delegated authority to another DOT official(s). The primary DOT official retains accountability.
- g. **Reservations of Authority.** Reserve to the Secretary or some other designated DOT official the right to exercise all or part of powers or duties vested in the Secretary of Transportation.
- h. **Controls Placed on Delegations of Authority.** Requires the DOT official with designated delegated or redelegated authority to satisfy certain requirements prior to exercising delegated authority. Common controls placed on delegated or redelegated authority include:
 - (1) **Concurrence** - This requires the DOT official with delegated or redelegated authority to obtain the approval of the cited DOT official(s) or organizational component(s) before a proposed course of action can be taken.
 - (2) **Coordination** - This requires the DOT official with delegated or redelegated authority to provide information and keep the cited DOT official(s) or organization component(s) informed of proposed actions.
 - (3) **Consultation** - This requires the DOT official with delegated or redelegated authority to confer with the cited DOT official(s) or organizational component(s) to seek advice and discuss a proposed plan of action.

- i. Federal Register Document. For the purpose of this order, is used to publish delegations of authority and basic DOT organizational structure and general functional responsibilities in 49 CFR, Part I.

5. POLICY.

- a. DOT directives shall be issued in accordance with governmentwide directives management requirements, be responsive to customer needs, and contain only guidance that is required for mission accomplishment. In the processing of directives, electronic technology shall be used to the maximum extent possible.
- b. All delegations of authority to exercise powers and perform duties vested in the Secretary of Transportation shall be approved by the Secretary and published in 49 CFR, Part I.
- c. All changes to organization structure, mission, and functions for each component two levels below the Assistant Secretary, Head of Operating Administration, or Bureau Director shall be approved by the Secretary.

6. RESPONSIBILITIES.

- a. The Office of the Secretary (OST) Executive Secretariat (S-10) shall:
 - (1) Establish policy and procedures governing:
 - a the departmental directives system; and,
 - b processing new or changes to DOT delegations of authority and changes to organization structure, mission, and functions requiring secretarial approval.
 - (2) Obtain the Secretary's approval of new or changes to delegations of authority and applicable changes to organization structure, mission, and functions.

- (3) Assign numbers for departmental directives and maintain the official file of current and cancelled departmental directives, approved delegations of authority, reservations and controls, and new or changes to organization, mission, and functions requiring secretarial approval.
 - (4) Provide advice and assistance to OST, operating administrations, and the Bureau of Transportation Statistics regarding the directives, delegation of authority, and organization structure, mission, and functions procedures and processes.
 - (5) Coordinate departmentwide efforts to achieve a major reduction in the number and size of internal regulations and monitor departmentwide progress in meeting this goal.
 - (6) Serve as the departmental liaison with other Federal agencies concerning directives management.
- b. Assistant Secretaries, Departmental Officers, Heads of Operating Administrations, and the Director, Bureau of Transportation Statistics (BTS) shall:
- (1) establish and maintain an Organizational Level Directives System for their organization within the framework of overall departmentwide directives policy;
 - (2) ensure the Organizational Level Directives System contains an order which provides current delegations of authority, reservations and controls, and organization structure, mission, and functions as approved by the Secretary for each component two levels below the assistant secretary, operating administration, or bureau;
 - (3) prepare, coordinate, and forward to the Executive Secretariat, for the Secretary's approval, new or changes to DOT delegations of authority and organization, mission, and functions, including the preparation of required Federal Register document; and

- (4) maintain an ongoing program to review existing organizational level directives and significantly reduce the number of directives issued.

c. Assistant General Counsel for Regulation and Enforcement (C-50) shall:

- (1) provide policy and advice concerning delegations of authority and information related to DOT's basic organization structure and general responsibilities contained in 49 CFR, Part I, including the preparation of requisite Federal Register documents; and,
- (2) forward information concerning DOT delegations of authority and information related to DOT's basic organization and general responsibilities to the Federal Register for publication.

7. CHANGING AND CANCELLING DIRECTIVES. Organizations throughout the Department use directives to keep abreast of current policies and procedures. Directives may be changed or cancelled only by issuance of another directive which specifically identifies the document which is revised or eliminated.

8. PROCEDURES FOR DEPARTMENTAL DIRECTIVES.

a. Departmental Directives.

- (1) When it is determined that a departmental policy directive is needed, the Assistant Secretary, Departmental Officer, Head of Operating Administration, or Director, BTS, responsible for the program shall prepare a draft directive and contact the OST Executive Secretariat to obtain the appropriate departmental directive number.
- (2) The originating office shall coordinate the proposed policy with the General Counsel, Assistant Secretaries, and Heads of Operating Administrations. Normally, a minimum of 10 working days should be allowed for coordination. All established obligations regarding coordination with employee labor organizations holding national consultation rights must be fulfilled and union concerns considered. The originating office shall also prepare a record of management comments received during the coordination

process and make every effort to resolve these comments. For handbooks/ manuals implementing departmentwide procedures, the originating office shall ensure that informational needs of departmental customers are fully satisfied.

- (3) Departmental directives shall be approved by the Assistant Secretary, Departmental Officer, Head of Operating Administration, or Bureau Director having jurisdiction over the program. Directives become effective on the date of signature.
- (4) Following signature, the originating office shall complete the necessary paperwork for printing and distributing the directive and provide a copy of the printed directive to the Executive Secretariat for placement in the official DOT directives file.

b. Delegation of Authority and Changes to Organization Structure, Mission and Functions.

- (1) The originating office prepares proposed new or changes to delegations of authority, reservations and controls, and organization structure, mission, and functions requiring secretarial approval, and assigns an organizational directives number. At a minimum, delegations of authority must be coordinated with the General Counsel and affected OST offices and operating administrations. Organization structure, mission, and functions must be coordinated with all OST offices and affected operating administrations. Normally, a minimum of 10 working days should be allowed for coordination.
- (2) The originating office shall also prepare a record of comments received, make every effort to resolve all comments, and forward packages for secretarial approval to the Executive Secretariat.
- (3) Following secretarial approval, the originating office shall complete the necessary paperwork for printing and distributing the package and provide a copy of the printed directive to the Executive Secretariat.

FOR THE SECRETARY OF TRANSPORTATION:



Melissa J. Spillenkothen
Assistant Secretary for Administration

